

Loan Broker Complaint Form

Personal Information:

Name: _____

Home Address: _____

Business Address: _____

Day Phone #: (____) ____-____ Evening Phone: (____) ____-____

Information About the Transaction:

Exactly what were you offered or trying to secure?

What firm or company was making the loan offer? (Please include address.)

Name: _____

Address: _____

Did you sign an agreement with the loan broker? YES NO

Did you give the loan broker any money? YES NO

Place of Transaction: _____

Amount Paid: _____ To Whom? _____

Amount of Proposed Loan: _____

Type of Payment (Circle one) Cash Check Promissory Note
Exchange of Property Other_____

Details of Any Contract: _____

Have you received the Loan? YES NO

If so, when did you receive it? _____

If not, why not? _____

Additional comments about the loan: _____

Information About the Seller:

Who offered to secure the loan for you?

Name: _____

Address: _____

Phone: (____) ____-____

What were you told by the loan broker before you invested?

Did you know anything about the loan broker other than what the loan broker told you?

Did the loan broker tell you or lead you to believe anything that turned out later to be untrue?

Are you willing to be interviewed by an investigator from our office?

YES NO

Are you willing to be a witness if proceedings are initiated by the Securities Commissioner?

YES NO

Please attach copies of the following documents, if possible:

Receipts

Advertisements

Canceled checks (front and back)

Contracts

Any correspondence related to the above
Any advertising relating to the above

I hereby verify, subject to the penalties of perjury, that I have read the information contained in and attached to this complaint and that all of the information I have given is accurate and complete to the best of my knowledge and belief. I will cooperate with the Division but understand that the staff attorneys are not my personal attorneys and that I may seek private counsel on my own behalf.

Signature: _____

Printed Name: _____

Date: _____

Mail the completed form, along with any supporting documentation to:

Securities Division
302 W. Washington Street
Room E-111
Indianapolis, IN 46204